

PATENT

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANT(S): RICHARD W. FRIESEN AND MARK C. KLIZAS
APPLICATION NO.: 09/651,301
FILING DATE: August 30, 2000
TITLE: User Interface for Semi-Fungible Trading
EXAMINER: Not Yet Known
GROUP ART UNIT: 2161
ATTY. DKT. NO.: 5069

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 11/20/00

By: [Signature]

Dana S. Rao, Reg. No.: 43,875

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION**

SIR:

Responsive to Notice to File Missing Parts dated October 18, 2000 received in the above-identified patent application, enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☐ a signed Verified Statement

- ☐ Applicant respectfully submits that since this application was entitled to Small Entity Status when filed, as established with the enclosed original, signed, Verified Statement, the fee for filing as a large entity as indicated in the Notice to File Missing Parts is inappropriate

and that the filing fee submitted with this application as originally
filed is sufficient to cover the filing fees for this application;

☒ payment in the amount of \$65.00 for the surcharge;

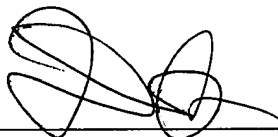
☐ Other:

Respectfully submitted,
RICHARD W. FRIESEN AND MARK C. KLIZAS

Dated: _____

11/20/00

By: _____



Dana S. Rao, Reg. No.: 43,875
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7666
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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/651,301	08/30/2000	Richard W. Friesen	5069

Dana S Rao
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306



FORMALITIES LETTER



OC000000005483107

Date Mailed: 10/18/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/06/2000 WKOROMA 00000024 09651301

01 FC:205

65.00 OP



SECTOR 1/8

+

PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95 TRANSMITTAL FORM (to be used for all correspondence during pendency of filed application)	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/651,301	
		Filing Date	August 30, 2000	
		First Named Inventor	Richard W. Friesen	
		Group Art Unit Number	2161	
		Examiner Name	Not Yet Known	
Total Number of Pages in This Submission		9	Attorney Docket Number	5069

ENCLOSURES (check all that apply)

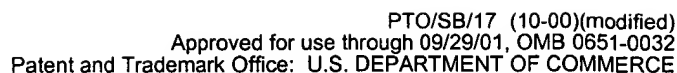
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
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REMARKS:**SIGNATURE OF ATTORNEY OR AGENT**

Signature:			
Attorney/Reg. No.:	Dana S. Rao/Reg. No. 43,875	Dated:	11/20/00

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Dana S. Rao	Dated:	11/20/00
Express Mail Mailing Number (optional):			



U.S. Department of Commerce
Patent and Trademark Office

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$)65.00**

Complete if Known

Application Number	09/651,301
Filing Date	August 30, 2000
First Named Inventor	Richard W. Friesen
Group Art Unit	2161
Examiner Name	Not Yet Known
Attorney Docket Number	5069

METHOD OF PAYMENT

FEE CALCULATION (continued)

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. [†]
- ☒ Applicant claims small entity status
See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ **Payment Enclosed:**

☒ Check ☐ Credit Card ☐ Other**FEE CALCULATION** (fees effective 10/01/2000)

1. FILING FEE			
<u>Large Entity</u>	<u>Small Entity</u>	Fee	Fee
Code/Fee	Fee Code/Fee	Description	Due
101/ \$710	201/ \$355	Utility Filing	<input type="text"/>
106/ \$320	206/ \$160	Design Filing	<input type="text"/>
108/ \$710	208/ \$355	Reissue	<input type="text"/>
114/ \$150	214/ \$75	Provisional Filing	<input type="text"/>

SUBTOTAL (1) (\$).00

2. CLAIMS

<u>Large Entity</u> Fee Code/Fee	<u>Small Entity</u> Fee Code/Fee	Fee Description
103/ \$18	203/ \$9	Claims in excess of 20
102/ \$80	202/ \$40	Independent claims in excess of 3
104/ \$270	204/ \$135	Multiple dependent claim
109/ \$80	209/ \$40	Reissue independent claims over original patent
110/ \$18	210/ \$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>		
Fee Code/Fee	Fee Code/Fee	Fee Description	Fee Due
105/ \$130	205/ \$65	Surcharge - late filing fee or oath	65
127/ \$50	227/ \$25	Surcharge-late provisional filing fee or cover sheet	
147/ \$2,520	147/ \$2,520	For filing a request for reexamination	
115/ \$110	215/ \$55	Extension for response within first month [†]	
116/ \$390	216/ \$195	Extension for response within second month [†]	
117/ \$890	217/ \$445	Extension for response within third month [†]	
118/ \$1,390	218/ \$695	Extension for response within fourth month [†]	
128/ \$1,890	228/ \$945	Extension for response within fifth month [†]	
119/ \$310	219/ \$155	Notice of Appeal	
141/ \$1,240	241/ \$620	Petition to revive unintentionally abandoned application	
142/ \$1,240	242/ \$620	Utility Issue Fee (Or Reissue)	
143/ \$440	243/ \$220	Design Issue Fee	
122/ \$130	122/ \$130	Petitions to the Commissioner	
126/ \$180	126/ \$180	Submission of Information Disclosure Statement	
179/ \$710	279/ \$355	Request for Continued Examination (RCE)	
581/ \$40	581/ \$40	Recording each patent assignment per property (times number of properties)	
146/ \$710	246/ \$355	Filing a submission after final rejection (37 CFR 1.129(a))	
149/ \$710	249/ \$355	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify):

Other fee (specify):


SUBTOTAL (3) **(\$)**65.00

(Col. 1)		(Col. 2)	(Col. 3)			
For	No. of Existing Claims	Highest No. Previously Paid For	Extra**		Fee	Fee Due
TOTAL		20 or 0		x		
INDEP		3 or 0		x		
[] First presentation of multiple dependent claim						

* Subtract the greater number of Col. 2

**** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3**

SUBTOTAL (2) (\$).00

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Dana S. Rao	Reg. Number	43,875
Signature		Date	11/20/00

[†] Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby
Rev. 09/30/2000